



Protecting the Public Purse – Self Assessment Checklist

	YES	NO	ACTION
GENERAL			
1. Have we committed ourselves to zero tolerance against fraud?	✓		See the Council's Counter Fraud and Corruption Policy which was updated in February 2010.
2. Do we have appropriate strategies, policies and plans?	✓		
3. Do we have dedicated counter-fraud resources?	✓		Counter fraud services provided by Veritau
4. Do the resources cover all of the activities of our organisation?	✓		
5. Do we receive regular reports on fraud risks, plans and outcomes?	✓		Some scope for improvement – for example, a formal fraud risk assessment could be completed each year and the results reported to A&G.
6. Have we assessed our management of counter-fraud resources against good practice?	✓		Covered by CAA UoR assessment (KLOE 2.4). No issues raised by the external auditor.
7. Do we raise awareness of fraud risks with: <ul style="list-style-type: none"> • New staff (including agency staff)? • Existing staff? • Members? 	✓		The risk of fraud is communicated to staff via training courses, newsletters and the intranet but it is recognised that there is further scope to raise awareness. A detailed action plan will be considered by the Officer Governance Group.
8. Do we join in appropriately with national, regional and local networks and partnerships to ensure we are up to date with current affairs and issues?	✓		Attend NYFIG, CIAG and members of CIPFA BGF



9. Do we have working arrangements with relevant organisations to ensure effective sharing of knowledge and data about fraud?	✓		See above – also work closely with the DWP, the police and other local public sector bodies
10. Do we identify areas where internal controls may not be performing as intended?	✓		Internal Audit work will identify any weaknesses in control through their routine work.
11. Do we maximise the benefit of our participation in the Audit Commission NFI and receive reports on outcomes?	✓		
FIGHTING FRAUD IN THE RECESSION			
12. Have we reassessed our fraud risks because of the recession?		✓	No specific assessment undertaken although the counter fraud team is aware of the potential increase in fraud risk.
13. Have we amended our counter-fraud action plan as a result?		✓	
14. Have we reallocated staffing as a result?		✓	
15. Do we take effective action to ensure that social housing is allocated only to those in need?	✓		Housing Fraud counter project launched April 2010.
16. Do we take effective action to ensure that social housing is occupied by those to whom it is allocated?	✓		
17. Are we satisfied that payment controls are working as intended?	✓		No weaknesses in control identified



18. Have we reviewed our contract letting procedures against the good practice guidance issued by the Office of Fair Trading to reduce the risk of illegal practices such as cartels?		✓	A response will be considered by the Officer Governance Group.
19. Are we satisfied that our recruitment procedures are: <ul style="list-style-type: none"> • Preventing employment of people working under false identities? • Validating employment references effectively? • Ensuring applicants are eligible to work in the UK? 	✓		Regular internal audit reviews are completed in this area – see 2010/11 Audit Plan
20. Where we are moving to direct payments (for example, social care) have we introduced suitable and proportionate control arrangements in line with recommended practice?		✓	The council is currently developing its processes in this area. Veritau will provide support to the individualised budgets project as part of the 2010/11 Audit Plan.
21. Are we effectively controlling the discounts and allowances we give to council taxpayers?	✓		
22. Are we satisfied that we are doing all that we can to tackle housing and council tax benefit fraud?	✓		
23. Do we have a reporting mechanism that encourages our staff to raise their concerns of money laundering?	✓		There is scope to improve the communication of the council's money launder system to staff